

DECLARATION FOR PATENT APPLICATION

Docket No: FERN-P004

As a below named inventor, I hereby declare that:

My residence, postal address and citizenship are as stated below next to my name.

I believe that I am the original, first and sole inventor (if only one name is listed below) or an original first and joint inventor (if multiple names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

ADAPTIVE DIRECT TRANSACTION FOR NETWORKED CLIENT GROUP

the specification of which is attached hereto unless the following information is indicated:

was filed on _____;
as United States Application Number or PCT International Application Number _____;
and was amended on _____ (if applicable).

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendments referred to above.

I acknowledge the duty to disclose information that is material to patentability as defined in 37 CFR 1.56.

I hereby claim foreign priority benefits under 35 U.S.C. 119(a)-(d) or 365(b) of any foreign application(s) for patent or inventor's certificate, or 365(a) of any PCT International application which designated at least one country other than the United States, listed below and have also identified, as so indicated below, any foreign application for patent or inventor's certificate, or PCT International application having a filing date before that of the application on which priority is claimed.

(Application No.) (Country) (Day/Month/Year Filed) Yes No
(Application No.) (Country) (Day/Month/Year Filed) Yes No

I hereby claim the benefit under 35 U.S.C. 119(e) of any United States provisional application(s) listed below.

(Application No.) **(Day/Month/Year Filed)**

I hereby claim the benefit under 35 U.S.C. 120 of any United States application(s), or 365(c) of any PCT International application designating the United States, listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States or PCT International application in the manner provided by the first paragraph of 35 U.S.C. 112, I acknowledge the duty to disclose information that is material to patentability as defined in 37 C.F.R. 1.56 that became available between the filing date of the prior application and the national or PCT International filing date of this application.

(Application No.) **(Day/Month/Year Filed)** **(Status - patented, pending, abandoned)**

Please send Correspondence to:

DENNIS & IRENE FERNANDEZ LLP
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WOODSIDE, CA 94062-2639

Direct telephone calls to:

(650) 529-9237

Or Email Address: *iploft@iploft.com*

Or FAX: (650) 529-9315

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and beliefs are believed to be true; and further that these statements were made with knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Full name of sole or first inventor:

IRENE HU FERNANDEZ

Inventor's signature

Date

Irene H. Fernandez

9/1/98

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Citizenship:

United States

Postal Address:

same as Residence

Full name of joint inventor:

DENNIS SUNGA FERNANDEZ

Inventor's signature

Date

Dennis S. Fernandez

1 September 1998

Residence:

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Citizenship:

United States

Postal Address:

same as Residence

STATEMENT CLAIMING SMALL ENTITY STATUS
(37 CFR 1.9(f) & 1.27(b))--INDEPENDENT INVENTOR

Docket Number: FERN-P004

Applicant, Patentee, or Identifier: Fernandez et al.

Application or Patent No <TBA>

Filed or Issued: 1 SEPTEMBER 1998

Title: ADAPTIVE DIRECT TRANSACTION FOR NETWORKED CLIENT GROUP

As a below named inventor(s), I hereby state that I qualify as an independent inventor as defined in 37 CFR 1.9(c) for purposes of paying reduced fees to the Patent and Trademark Office described in:

the specification filed herewith with title as listed above.
 the application identified above.
 the patent identified above.

I have not assigned, granted, conveyed, or licensed, and am under no obligation under contract or law to assign, grant, convey, or license, any rights in the invention to any person who would not qualify as an independent inventor under 37 CFR 1.9(c) if that person had made the invention, or to any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e).

Each person, concern, or organization to which I have assigned, granted, conveyed, or licensed or am under an obligation under contract or law to assign, grant, convey, or license any rights in the invention is listed below:

No such person, concern, or organization exists.
 Each such person, concern, or organization is listed below.

Separate statements are required from each named person, concern, or organization having rights to the invention stating their status as small entities. (37 CFR 1.27)

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate.(37 CFR 1.28(b))

IRENE HU FERNANDEZ

NAME OF INVENTOR

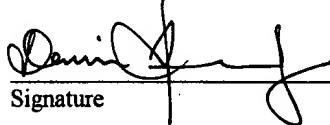

Signature

1 SEPTEMBER 1998

Date

DENNIS SUNGA FERNANDEZ

NAME OF INVENTOR


Signature

1 SEPTEMBER 1998

Date

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of :

Application No.: (Not yet assigned)

Group No.: (Not yet assigned)

Filed: 1 SEPTEMBER 1998

Examiner: (Not yet assigned)

Title: **ADAPTIVE DIRECT TRANSACTION FOR NETWORKED CLIENT GROUP**

Inventors: **FERNANDEZ *et al.***

Assistant Commissioner for Patents
Washington, D.C. 20231

**SUBMISSION OF VERIFIED STATEMENT
TO ESTABLISH SMALL ENTITY STATUS**

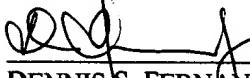
The attached statement is being submitted to establish small entity status in this

Application
 Patent

by the

Independent inventor(s) 37 CFR 1.9(c) and 1.27(b)
 Non-inventor supporting claim by another 37 CFR 1.9(c) and 1.27(b)
 Small Business Concern 37 CFR 1.9(d) and 1.27(c)
 Nonprofit Organization 37 CFR 1.9(e) and 1.27(d)

Respectfully submitted,


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